



01-07-04

PATENT  
020673

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Seaman, et al. : METHODS AND SYSTEMS FOR  
Serial No.: 10/631,165 : PROCESSING AND MANAGING  
Filing Date: July 31, 2003 : CORPORATE ACTION INFORMATION  
: INCLUDING VOLUNTARY AND  
: MANDATORY CORPORATE ACTION  
: DATA

INFORMATION DISCLOSURE STATEMENT

January 6, 2004

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Commissioner:

Applicants, in accordance with the duty of disclosure pursuant to 37 C.F.R. § 1.56, hereby advise the United States Patent and Trademark Office of the references listed on the accompanying form PTO/SB/08A *Information Disclosure Statement by Applicant* (Substitute for Form-1449A/PTO). Copies of the references cited therein are enclosed.

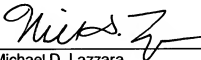
Applicants note that although the cited references may be relevant to the examination of the above-referenced application, under 37 C.F.R. § 1.97(h), the filing of this

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*Information Disclosure Statement by Applicant* "shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b)."

Respectfully submitted,



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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<i>Complete If Known</i>	
				Application Number	10/631,165
				Filing Date	July 31, 2003
				First Named Inventor	Seaman
				Art Unit	
				Examiner Name	
Sheet	1	of	3	Attorney Docket Number	020673

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1055280v1-0226540.0131

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		Examiner Name	
Sheet	2	of	3
		Attorney Docket Number	020673

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		"Xcitek offers Exchange Data International data via Xcitek.com," printed from <a href="http://www.exchange-data.com/products/press/xcitek.asp">http://www.exchange-data.com/products/press/xcitek.asp</a> Internet site, accessed on 6/28/2002, 3 pages.	
		"Corporate Actions Processing System," printed from <a href="http://www.exchange-data.com/products/compact/process.asp">http://www.exchange-data.com/products/compact/process.asp</a> Internet site, accessed on 6/28/2002, 5 pages.	
		CRISTINA McEACHERN, "Raymond James Signs With Xcitek For Corporate Actions Processing," <i>Wall Street &amp; Technology Magazine</i> , printed from <a href="http://www.wallstreetandtech.com/story/mag/WST20010514S0011">http://www.wallstreetandtech.com/story/mag/WST20010514S0011</a> Internet site, accessed on 6/27/2002, 2 pages.	
		"eActions: A Unique and Exciting Corporate Actions Notification Service," printed from <a href="http://www.eactions.hubdata.com/">http://www.eactions.hubdata.com/</a> Internet site, accessed on 6/27/2002, 1 page.	
		"Meeting the Needs of Growing Advisors," printed from <a href="http://www.eactions.hubdata.com/info.asp">http://www.eactions.hubdata.com/info.asp</a> Internet site, accessed on 6/27/2002, 2 pages.	
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		"CAMS Corporate Actions Management System," printed from <a href="http://www.effsols.com/statichtml/camspg.html">http://www.effsols.com/statichtml/camspg.html</a> Internet site, accessed on 6/11/2002, 1 page.	
		"Sponsors," printed from <a href="http://www.sia.com/ops2002/html/sponsors.html">http://www.sia.com/ops2002/html/sponsors.html</a> , Internet site, accessed on 7/1/2002, 10 pages.	

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Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		XCITEK CONSULTING SERVICES, INC., "System Features & Functionality," September 1996, New York, NY, 17 pages.	
		XCITEK and SOLUTIONS PLUS, "The Xcitek Solutions Plus Corporate Actions Processing Application, System Features & Functionality," March 1999, New York, NY, 32 pages.	
		"Xcitek Update," Summer 1996, 1 page.	
		"Now You Can Take Complete Control of all Corporate Actions Plus Provide Proper Notification to Your Clients," Solutionsplus, 1 page.	
		United States Patent Application No. 10/631,243, filed July 31, 2003. (Attorney Docket No. 020420)	

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